

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 2

PATENT NO. : 8,296,215 B1  
APPLICATION NO. : 09/546,031  
ISSUE DATE : October 23, 2012  
INVENTOR(S) : Keith

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

On Page 2, in Field (56), under "OTHER PUBLICATIONS", in Column 2, Line 4, delete "investor;Analysis," and insert - - investor; Analysis, - -, therefor.

On Page 2, in Field (56), under "OTHER PUBLICATIONS", in Column 2, Line 17, delete "8,and" and insert - - 8, and - -, therefor.

On Page 2, in Field (56), under "OTHER PUBLICATIONS", in Column 2, Line 36, delete "2d" and insert - - 2nd - -, therefor.

On Page 3, in Field (56), under "OTHER PUBLICATIONS", in Column 1, Line 12, delete ""MiFI D" and insert - - "MiFID - -, therefor.

On Page 3, in Field (56), under "OTHER PUBLICATIONS", in Column 1, Line 65, delete "[retreived" and insert - - [retrieved - -, therefor.

On Page 3, in Field (56), under "OTHER PUBLICATIONS", in Column 2, Line 46, delete "cooresponding" and insert - - corresponding - -, therefor.

MAILING ADDRESS OF SENDER (Please do not use customer number below):

Maschoff Gilmore & Israelsen  
1441 West Ute Boulevard, Suite 100  
Park City, UT 84098 United States

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

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On Page 3, in Field (56), under "OTHER PUBLICATIONS", in Column 2, Line 49, delete "cooresponding" and insert - - corresponding - -, therefor.

On Page 3, in Field (56), under "OTHER PUBLICATIONS", in Column 2, Line 58, delete "cooresponding" and insert - - corresponding - -, therefor.

In Column 4, Line 8, delete "program 30." and insert - - program 30. If ELF program 10 does not wish to find more matches, then processing proceeds to step 160, wherein ELF program 10 deregisters with program 30, and processing is completed. - - therefor.

In Column 11, Line 36, in Claim 9, delete "program" and insert - - process - -, therefor.

In Column 12, Line 54, in Claim 22, delete "occurring" and insert - - occurring - -, therefor.

In Column 13, Line 36, in Claim 28, delete "prices" and insert - - price - -, therefor.

In Column 16, Line 3, in Claim 39, delete "The" and insert - - The non-transitory - -, therefor.

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## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

PATENT NO.: 8,296,215

USPTO CONFIRMATION CODE: 3070

APPLICATION NO.: 09/546,031

FILED: April 10, 2000

EXAMINER: Hani M Kazimi

GROUP ART UNIT: 3691

FOR: TRADING SYSTEM WITH ELFS AND UMPIRES

37 CFR 1.322 & 37 CFR 1.323 REQUEST FOR CERTIFICATE OF CORRECTION  
FOR USPTO AND/OR APPLICANT MISTAKE

Commissioner for Patents  
Office of Patent Publication  
ATTN: Certificate of Correction Branch  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

A certificate of correction under 35 USC 254 is respectfully requested in the above-identified patent.

It is believed that all errors identified herein were the fault of both the applicant and USPTO and, accordingly, please charge **\$100.00** to our Deposit Account No. 50-5394. In the event that a further fee is required, please charge the amount to the same Deposit Account.

The exact locations where the errors appear in the patent and patent application are as follows:

On Page 2, in Field (56), under “OTHER PUBLICATIONS”, in Column 2, Line 4, delete “investor;Analysis,” and insert - - investor; Analysis, - -, therefor.  
(LIST OF REFERENCES CITED BY EXAMINER DATED MAY 9, 2012, PAGE 1 OF 1 (PAGE 28 OF FW), UNDER “NON-PATENT DOCUMENTS”, ENTRY 1, LINE 1)

On Page 2, in Field (56), under “OTHER PUBLICATIONS”, in Column 2, Line 17, delete “8,and” and insert - - 8, and - -, therefor.  
(LIST OF REFERENCES CITED BY APPLICANT AND CONSIDERED BY EXAMINER DATED MARCH 4, 2003, SHEET 2 OF 2 (PAGE 371 OF FW), UNDER “OTHER PRIOR ART”, ENTRY 5, LINE 1)

On Page 2, in Field (56), under “OTHER PUBLICATIONS”, in Column 2, Line 36, delete “2d” and insert - - 2nd - -, therefor.  
(LIST OF REFERENCES CITED BY APPLICANT AND CONSIDERED BY EXAMINER DATED MAY 9, 2012, SHEET 5 (PAGE 39 OF FW), UNDER “NON-PATENT LITERATURE DOCUMENTS”, ENTRY 2, LINE 1)

On Page 3, in Field (56), under “OTHER PUBLICATIONS”, in Column 1, Line 12, delete ““MiFI D” and insert - - “MiFID - -, therefor.  
(LIST OF REFERENCES CITED BY APPLICANT AND CONSIDERED BY EXAMINER DATED MAY 27, 2009, SHEET 2 (PAGE 334 OF FW), UNDER “NON-PATENT LITERATURE DOCUMENTS”, ENTRY 1, LINE 1)

On Page 3, in Field (56), under “OTHER PUBLICATIONS”, in Column 1, Line 65, delete “[retrieved” and insert - - [retrieved - -, therefor.  
(LIST OF REFERENCES CITED BY APPLICANT AND CONSIDERED BY EXAMINER DATED MAY 9, 2012, SHEET 2 (PAGE 63 OF FW), UNDER “NON-PATENT LITERATURE DOCUMENTS”, ENTRY 2, LINE 2)

On Page 3, in Field (56), under “OTHER PUBLICATIONS”, in Column 2, Line 46, delete “cooresponding” and insert - - corresponding - -, therefor.  
(LIST OF REFERENCES CITED BY APPLICANT AND CONSIDERED BY EXAMINER DATED SEPTEMBER 6, 2012, SHEET 3 (PAGE 5 OF FW), UNDER “NON-PATENT LITERATURE DOCUMENTS”, ENTRY 1, LINE 1)

On Page 3, in Field (56), under “OTHER PUBLICATIONS”, in Column 2, Line 49, delete “cooresponding” and insert - - corresponding - -, therefor.  
(LIST OF REFERENCES CITED BY APPLICANT AND CONSIDERED BY EXAMINER DATED SEPTEMBER 6, 2012, SHEET 3 (PAGE 5 OF FW), UNDER “NON-PATENT LITERATURE DOCUMENTS”, ENTRY 2, LINE 1)

On Page 3, in Field (56), under “OTHER PUBLICATIONS”, in Column 2, Line 58, delete “cooresponding” and insert - - corresponding - -, therefor.  
(LIST OF REFERENCES CITED BY APPLICANT AND CONSIDERED BY EXAMINER DATED SEPTEMBER 6, 2012, SHEET 3 (PAGE 5 OF FW), UNDER “NON-PATENT LITERATURE DOCUMENTS”, ENTRY 5, LINE 1)

In Column 4, Line 8, delete “program 30.” and insert - - program 30. If ELF program 10 does not wish to find more matches, then processing proceeds to step 160, wherein ELF program 10 deregisters with program 30, and processing is completed. - - therefor.  
(ORIGINALLY FILED SPECIFICATION DATED APRIL 10, 2000, PAGE 6, LINES 14-16)

In Column 11, Line 36, in Claim 9, delete “program” and insert - - process - -, therefor.  
(AMENDMENTS TO THE CLAIMS DATED JULY 28, 2011, PAGE 6, CLAIM 24, LINE 2)

In Column 12, Line 54, in Claim 22, delete “occuring” and insert - - occurring - -, therefor.  
(AMENDMENTS TO THE CLAIMS DATED JULY 28, 2011, PAGE 5, CLAIM 16, LINE 2)

In Column 13, Line 36, in Claim 28, delete “prices” and insert - - price - -, therefor.  
(AMENDMENTS TO THE CLAIMS DATED JULY 28, 2011, PAGE 8, CLAIM 30, LINE 4)

In Column 16, Line 3, in Claim 39, delete “The” and insert - - The non-transitory - -, therefor.  
(AMENDMENTS TO THE CLAIMS DATED JULY 28, 2011, PAGE 12, CLAIM 41, LINE 1)

The requested corrections are attached on Form PTO/SB/44.

Dated this 20<sup>th</sup> day of March, 2013.

Respectfully Submitted,

**/R. Burns Israelsen/ Reg. # 42,685**

R. BURNS ISRAELSEN

Acting in Representative Capacity  
(37 CFR 1.34)

Registration No. 42,685

Telephone No. (435) 252-1360